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## TRANSMITTAL FORM

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<b>Application Number</b>	09/993,192		
	<b>Filing Date</b>	November 14, 2001	
	<b>First Named Inventor</b>	Sangki Rhee, et al.	
	<b>Group Art Unit</b>	1635	
	<b>Examiner Name</b>	L. Nguyen	
<b>Total Number of Pages in This Submission</b>	28	<b>Attorney Docket Number</b>	4220-116.1US

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  X Response to Notice to File Corrected App. Papers and Supp. Preliminary Amendment X Req. Under 37 CFR Sec 1.821(e) X Abstract X Sequence Listing X Postcard
<b>Remarks</b>		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

<b>Firm or Individual name</b>	Brian L. Buckwalter for Mathews, Collins, Shepherd & McKay, P.A.
<b>Signature</b>	
<b>Date</b>	February 11, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: February 11, 2002			
<b>Typed or printed name</b>	AnnMarie Perry		
<b>Signature</b>		<b>Date</b>	February 11, 2002

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#4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Application of Sangki Rhee, *et al.*

: Group Art Unit: 1635

Appln. No.: 09/993,192

: Examiner: L. Nguyen

Filed: November 14, 2001

For: **HANSENULA POLYMORPHA MUTANTS AND PROCESS  
FOR PREPARATION OF RECOMBINANT PROTEINS USING  
THE SAME.**

Assistant Commissioner of Patents  
Washington, D.C. 20231

SIR:

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS AND  
SUPPLEMENTARY PRELIMINARY AMENDMENT**

In response to the Notice to File Corrected Application Papers mailed December 10, 2001 having a shortened statutory period of response set to expire February 10, 2001, please enter the following amendments and papers into the record.

**In the specification:**

On page 9, line 21, delete "Sequence 1" and insert therefor --SEQ ID NO:1--.

On page 10, line 13, delete "Sequence 3" and insert therefor --SEQ ID NO:3--.

On page 12, line 10, after "Primer C1" insert --(SEQ ID NO:4)--.

On page 12, line 11, after "Primer C2" insert --(SEQ ID NO:5)--.

On page 12, line 22, after "Primer P1" insert --(SEQ ID NO:6)--.

On page 12, line 23, after "Primer P2" insert --(SEQ ID NO:7)--.

On page 13, line 4, after "Primer K1" insert --(SEQ ID NO:8)--.

On page 13, line 5, after "Primer K2" insert --(SEQ ID NO:9)--.

On page 14, line 15, delete "Sequence 1" and insert therefor --SEQ ID NO:1--.

On page 14, line 19, delete "Sequence 1" and insert therefor --SEQ ID NO:1--.

On page 15, line 16, delete "Sequence 2" and insert therefor --SEQ ID NO:2--.

On page 15, line 20, delete "Sequence 2" and insert therefor --SEQ ID NO:2--.

On page 16, line 19, delete "Sequence 3" and insert therefor --SEQ ID NO:3--.